

AF/3732



Please type a plus sign (+) inside this box →



PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/900,503	
	Filing Date	July 6, 2001	
	First Named Inventor	HU, LAWRENCE W.	
	Group Art Unit	3732	
	Examiner Name	SMITH, JEFFREY A.	
Total Number of Pages in This Submission	23	Attorney Docket Number	GUID-012CON

RECEIVED
SEP 25 2003
TECHNOLOGY CENTER R570C

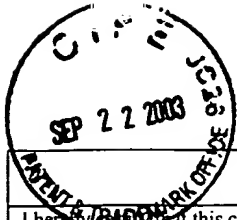
ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form (In duplicate) <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter
<input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for entry of Amendment filed May 14, 2003 (1 pg) Copy of Amendment and PTO forms 1449 filed May 14, 2003 (21 pgs.) postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual Name	ALAN W. CANNON, Reg. No. 34,977
Signature	
Date	September 15, 2003

RECEIVED
SEP 30 2003
GROUP 3600

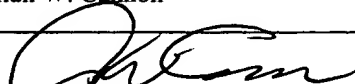
CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: September 15, 2003.	
Typed or printed name	Alan W. Cannon
Signature	
Date	September 15, 2003

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450.

Typed or Printed Name	Alan W. Cannon		
Signature		Date	9/15/03

REQUEST FOR ENTRY AND CONSIDERATION OF AMENDMENT FILED MAY 14, 2003	Application No.	09/900,503
	Confirmation No.	5237
	Filing Date	July 6, 2001
	First Named Inventor	Hu, Lawrence W.
	Examiner.	Smith, Jeffrey
	Group Art Unit	3732
	Attorney Docket No.	GUID-012CON

RECEIVED
SEP 25 2003
TECHNOLOGY CENTER


Sir:

Applicants hereby request that the Amendment filed under 37 CFR 1.116 on May 14, 2003 be entered and considered. Applicants' representative telephoned the Examiner, the Examiner's SPE and the group receptionist to request the status of this case. The Examiner's SPE indicated that the Amendment filed May 14, 2003 has not yet been entered. Applicants are submitting a copy of the amendment as filed on May 14, 2003, including a copy of the postcard date-stamped by the U.S. Patent and Trademark Office, as proof of the filing of the amendment.

Applicants respectfully submit that no fees are due at this time, since the Amendment under 37 CFR 1.116 was timely filed within 2 months of the date of the final Office Action. However, the Commissioner is hereby authorized to charge any underpayment of fees associated with this communication, including any necessary fees for extensions of time and Notice of Appeal to avoid abandonment of the present case, or credit any overpayment to Deposit Account No. 50-2653, order number GUID-012CON.

Respectfully submitted,
LAW OFFICE OF ALAN W. CANNON

Date: September 15, 2003

By: 
Alan W. Cannon
Registration No. 34,977

LAW OFFICE OF ALAN W. CANNON
834 South Wolfe Road
Sunnyvale, CA 94086
Telephone: (408) 736-3554
Facsimile: (408) 736-3564

RECEIVED
SEP 30 2003
GROUP 3600



COPY

COPY

Please type a plus sign (+) inside this box →




PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

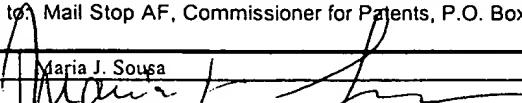
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	HU, LAWRENCE W.
		Group Art Unit	3732
		Examiner Name	SMITH, JEFFREY A.
Total Number of Pages in This Submission	20	Attorney Docket Number	GUID-012CON
ENCLOSURES (check all that apply)			
<input checked="" type="checkbox"/> Fee Transmittal Form (In duplicate) <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO form 1449 (10 pgs.) postcard	
<input checked="" type="checkbox"/> Amendment / Reply <input checked="" type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)			
<input type="checkbox"/> Extension of Time Request			
<input type="checkbox"/> Express Abandonment Request			
<input type="checkbox"/> Information Disclosure Statement			
<input type="checkbox"/> Certified Copy of Priority Documents			
<input type="checkbox"/> Response to Missing Parts/Incomplete Application			
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53			
Remarks			
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm or Individual Name	ALAN W. CANNON, Reg. No. 34,977		
Signature			
Date	May 14, 2003		

RECEIVED
SEP 30 2003
GROUP 3600 TECHNOLOGY CENTER R3700

RECEIVED
SEP 25 2003

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: May 14, 2003.	
Typed or printed name	Maria J. Sousa
Signature	
Date	May 14, 2003

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



COPY

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003		Complete if Known																													
Patent fees are subject to annual revision.		Application Number	09/900,503																												
		Filing Date	July 6, 2001																												
		First Named Inventor	HU, LAWRENCE W.																												
		Examiner Name	SMITH, JEFFREY A.																												
		Group Art Unit	3625																												
		Attorney Docket No.	GUID-012CON																												
TOTAL AMOUNT OF PAYMENT (\$) 120.00																															
METHOD OF PAYMENT		FEE CALCULATION (continued)																													
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit overpayments to: Deposit Account Number 50-0815 Deposit Account Name Bozicevic, Field & Francis LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant Claims small entity status. See 37 CFR 1.27		3. ADDITIONAL FEES																													
2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other																															
FEE CALCULATION																															
2. BASIC FILING FEE																															
<table border="1"><thead><tr><th>Large Entity Fee Code (\$)</th><th>Small Entity Fee Code (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>101 740</td><td>201 370</td><td>Utility filing fee</td><td></td></tr><tr><td>106 330</td><td>206 165</td><td>Design filing fee</td><td></td></tr><tr><td>107 510</td><td>207 255</td><td>Plant filing fee</td><td></td></tr><tr><td>108 740</td><td>208 370</td><td>Reissue filing fee</td><td></td></tr><tr><td>114 160</td><td>214 80</td><td>Provisional filing fee</td><td></td></tr><tr><td colspan="3">SUBTOTAL (1)</td><td>0.00</td></tr></tbody></table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 740	201 370	Utility filing fee		106 330	206 165	Design filing fee		107 510	207 255	Plant filing fee		108 740	208 370	Reissue filing fee		114 160	214 80	Provisional filing fee		SUBTOTAL (1)			0.00		
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																												
101 740	201 370	Utility filing fee																													
106 330	206 165	Design filing fee																													
107 510	207 255	Plant filing fee																													
108 740	208 370	Reissue filing fee																													
114 160	214 80	Provisional filing fee																													
SUBTOTAL (1)			0.00																												
1. EXTRA CLAIM FEES																															
<table border="1"><thead><tr><th>Total Claims</th><th>Extra Claims</th><th>Fee from below</th><th>Fee Paid</th></tr></thead><tbody><tr><td>27-25**</td><td>= 2 x</td><td>18.00</td><td>= 36.00</td></tr><tr><td>Indep. Claims 7-6**</td><td>= 1 x</td><td>84.00</td><td>= 84.00</td></tr><tr><td>Multiple Dependent</td><td></td><td></td><td></td></tr></tbody></table>		Total Claims	Extra Claims	Fee from below	Fee Paid	27-25**	= 2 x	18.00	= 36.00	Indep. Claims 7-6**	= 1 x	84.00	= 84.00	Multiple Dependent																	
Total Claims	Extra Claims	Fee from below	Fee Paid																												
27-25**	= 2 x	18.00	= 36.00																												
Indep. Claims 7-6**	= 1 x	84.00	= 84.00																												
Multiple Dependent																															
<table border="1"><thead><tr><th>Large Entity Fee Code (\$)</th><th>Small Entity Fee Code (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>103 18</td><td>203 9</td><td>Claims in excess of 20</td><td></td></tr><tr><td>102 84</td><td>202 42</td><td>Independent claims in excess of 3</td><td></td></tr><tr><td>104 280</td><td>204 140</td><td>Multiple dependent claim, if not paid</td><td></td></tr><tr><td>109 84</td><td>209 42</td><td>** Reissue independent claims over original patent</td><td></td></tr><tr><td>110 18</td><td>210 9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr><tr><td colspan="3">SUBTOTAL (2)</td><td>\$ 120.00</td></tr></tbody></table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	103 18	203 9	Claims in excess of 20		102 84	202 42	Independent claims in excess of 3		104 280	204 140	Multiple dependent claim, if not paid		109 84	209 42	** Reissue independent claims over original patent		110 18	210 9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)			\$ 120.00		
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																												
103 18	203 9	Claims in excess of 20																													
102 84	202 42	Independent claims in excess of 3																													
104 280	204 140	Multiple dependent claim, if not paid																													
109 84	209 42	** Reissue independent claims over original patent																													
110 18	210 9	** Reissue claims in excess of 20 and over original patent																													
SUBTOTAL (2)			\$ 120.00																												
**or number previously paid, if greater; For Reissues, see above.																															
		Other fee (specify) _____																													
		SUBTOTAL (3) (\$) 0.00																													

RECEIVED
SEP 25 2003

TECHNOLOGY CENTER R3700

RECEIVED

SEP 30 2003

GROUP 3600

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Alan W. Cannon	Registration No. (Attorney/Agent)	34,977
Signature		Telephone	(408) 736-3554
		Date	05/14/2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



COPY

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or Printed Name

Maria J. Sousa

Signature

Date

May 14, 2003

**AMENDMENT UNDER
37 C.F.R. §1.116**

Address to:
Box AF
Assistant Commissioner for Patents
Washington, D.C. 20231

Attorney Docket
Confirmation No.

GUID012CON
5237

First Named Inventor

Lawrence W. Hu, *et al.*

Application Number

09/900,503

Filing Date

July 6, 2001

Group Art Unit

3732

Examiner Name

Smith, Jeffrey A.

Title

SURGICAL RETRACTOR
PLATFORM BLADE
APPARATUS

Sir:

This amendment is responsive to the Final Office Action dated March 14, 2003 for which a three-month period for response was given making this response due on or before June 14, 2003. In view of the amendments to the claims and the remarks put forth below, reconsideration and allowance are respectfully requested. Applicants have attached to this amendment a "Version with Markings to Show Changes Made" wherein all of the amendments requested here are put forth with underlining and bracketing.

Applicants submit that the amendments set forth below raise no new issues. Rather, the amendments place the claims in form for allowance or in better form for appeal. Entry of these amendments is thus respectfully requested.

IN THE CLAIMS

Please amend claim 8 as follows:

**AMENDMENTS
RECEIVED
SEP 30 2003
GROUP 3600**

**RECEIVED
SEP 25 2003**

TECHNOLOGY CENTER R3700

8. (Twice Amended) A surgical retractor blade, said retractor blade comprising a polymeric body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, and a rail extending along at least a portion of said polymeric body.

Please amend claim 11 as follows:

11. (Three Times Amended) A surgical retractor blade, said retractor blade comprising a body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free end and said internal wall.

Please enter the following new claims:

26 (New) A surgical retractor blade for attaching to a drive mechanism, said retractor blade comprising a body having a first end, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free end and said internal wall, wherein said suture locking member is substantially rigid and pivots about said fixed end.

27. (New) The surgical retractor of claim 26, further comprising a spring member biased against said suture locking member to forcibly urge said free end towards said internal wall.

REMARKS UNDER 37 CFR § 1.116

Formal Matters

Claims 1-6, 8-15 and 17-27 are pending after entry of the amendments set forth herein.

Claims 1-6, 8-15 and 17-25 were examined. Claims 8-11 and 21-23 were rejected. Claims 1-6, 14-20, 24 and 25 were allowed. Claims 12 and 13 were objected to.

Please replace claims 8 and 11 with the clean version provided above, and enter new claims 26 and 27 as provided above.

Attached hereto is a marked-up version of the changes made to the claims by the current amendment. The attached is captioned "**VERSION WITH MARKINGS TO SHOW CHANGES MADE.**"

Applicants respectfully request reconsideration of the application in view of the amendments and remarks made herein.

No new matter has been added.

The Office Action

Initially, Applicants wish to extend their appreciation to the Examiner for the indicated allowance of claims 1-6, 14-20, 24 and 25, as well as the indicated allowable subject matter in claims 12 and 13.

Claims 8-11 were rejected under 35 U.S.C. Section 102(e) as being anticipated by Hancock (U.S. Patent No. 6,331,157 B2). The Examiner indicated that the recitations "wherein said first end is adapted for attaching to a separated, complete drive mechanism" did not patentably distinguish the claims from the structure disclosed by Hancock because the "wherein" clause was not considered to further distinguish the structure recited.

In response thereto, Applicants have amended each of claims 8 and 11 to delete the discussed "wherein" clause. In its place, in each instance, the claims have been amended to further define recited first end as "adapted to attach to a separate, complete driving mechanism". It is respectfully submitted that this language structurally distinguishes the present invention as recited by claims 8 and 11 (and claims depending therefrom) over Hancock, since Hancock's blades are always attached to the driver. Further, it is respectfully submitted that it has been held that In a claim that was directed to a kit of component parts capable of being assembled, the Court held that limitations such as "members adapted

to be positioned" and "portions . . . being resiliently dilatable whereby said housing may be slidably positioned" serve to precisely define present structural attributes of interrelated component parts of the claimed assembly. *In re Venezia*, 530 F.2d 956, 189 USPQ 149 (CCPA 1976). (see MPEP Section 2173.05(g)).

In view of the above amendment of claims 8 and 11, the Examiner is respectfully requested to reconsider and withdraw the rejection of claims 8-11 under 35 U.S.C. Section 102(e) as being anticipated by Hancock (U.S. Patent No. 6,331,157 B2), as being no longer appropriate. It is respectfully submitted that these amendments do not raise a new issue, since they address the same previously addressed issue of structurally limiting the presently claimed invention to blades that may be attached to a separate, complete drive mechanism.

Claims 21-23 were rejected under 35 U.S.C. Section 103 (a) as being unpatentable over Hancock in view of Brief (U.S. Patent No. 4,747,395). It is respectfully submitted that these claims are allowable over the recited combination of references for at least the same reasons that claims 8 and 11 patentably define over Hancock, as discussed above, since Brief does nothing to overcome the deficiencies of Hancock in meeting the recitations of claims 8 and 11, and since each of claims 21-23 depends from one of claims 8 and 11.

Accordingly, the Examiner is respectfully requested to reconsider and withdraw the rejection of claims 21-23 under 35 U.S.C. Section 103 (a) as being unpatentable over Hancock in view of Brief (U.S. Patent No. 4,747,395), as being no longer appropriate.

With regard to newly submitted claims 26 and 27, it is respectfully submitted that these claims are clearly allowable in view of the Examiner's indication, in the Office Action dated June 19, 2002, that claims 12 and 13 would be allowable if rewritten in independent form to include all of the limitations of the base claim and any intervening claims. New claims 26 and 27 correspond to claims 12 and 13 in such form.

PTO Forms 1449

Upon review of the file for this application, Applicants have discovered that not all of the documents that were submitted in the parent application (Application Serial No. 09/305,811, now U.S. Patent No. 6,283,912) have been submitted in the instant application. Accordingly, Applicants are submitting herewith PTO Forms 1449 listing the remainder of the documents which have not been submitted, but which were considered and cited during the prosecution of the parent application. Copies of the documents are not included, as having been already previously submitted in the parent

application. Applicants would appreciate the Examiner initialing and returning an initialed copy of the enclosed PTO Forms 1449 to indicate consideration of the same.

Conclusion

Applicants submit that all of the claims are in condition for allowance, which action is requested. If the Examiner finds that a telephone conference would expedite the prosecution of this application, please telephone the undersigned at the number provided.

The Commissioner is hereby authorized to charge any underpayment of fees associated with this communication, including any necessary fees for extensions of time, or credit any overpayment to Deposit Account No. 50-2653, order number GUID-012CON.

Respectfully submitted,
LAW OFFICE OF ALAN W. CANNON

Date:

May 14, 2003

By:



Alan W. Cannon
Registration No. 34,977

LAW OFFICE OF ALAN W. CANNON
834 South Wolfe Road
Sunnyvale, CA 94086
Telephone: (408) 736-3554
Facsimile: (408) 736-3564

D:\DOCUMENTS\1.116 MENDMENT\GUID-012CON.doc

VERSION WITH MARKINGS TO SHOW CHANGES MADE

IN THE CLAIMS

Claim 8 was amended above as follows:

8. (Twice Amended) A surgical retractor blade, said retractor blade comprising a polymeric body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, and a rail extending along at least a portion of said polymeric body[, wherein said first end is adapted for attaching to a separate, complete drive mechanism].

Claim 11 was amended above as follows:

11. (Three Times Amended) A surgical retractor blade, said retractor blade comprising a body having a first end adapted to attach to a separate, complete driving mechanism, a second end, a channel adapted to engage one side of an incision in a patient, a rail extending along at least a portion of said body, and a plurality of open slots for receiving a suture therein, wherein said open slots have an internal wall and a suture locking member having a fixed end and a free end, said free end engaging said internal wall so as to clamp a suture placed between said free [ended] end and said internal wall[, wherein said first end is adapted for attaching to a separate, complete drive mechanism].

Please type a plus sign (+) inside this box →



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 10

Complete if Known

Application Number 09/900,503
Filing Date July 6, 2001
First Named Inventor Hu et al.
Group Art Unit 3732
Examiner Name Jeffery A. Smith
Attorney Docket Number GUID-012CON

U.S. PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	U.S. Patent Documents		Date of Publication of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, columns, lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	452,131		May, 1891	Haughwout	
	A2	810,675		Jan., 1906	Richter	
	A3	2,296,793		Sep., 1942	Kirschbaum	
	A4	2,590,527		Mar., 1952	Fluck	
	A5	2,693,795		Nov., 1954	Grieshaber.	
	A6	2,863,444		Dec., 1958	Winsten.	
	A7	3,392,722		Jul., 1968	Jorgensen.	
	A8	3,683,926		Aug., 1972	Suzuki.	
	A9	3,720,433		Mar., 1973	Rosfelder.	
	A10	3,783,873		Jan., 1974	Jacobs.	
	A11	3,858,926		Jan., 1975	Ottenhues.	
	A12	3,882,855		May., 1975	Schulle et al.	
	A13	3,983,863		Oct., 1976	Janke et al.	
	A14	4,047,532		Sep., 1977	Phillips et al.	
	A15	4,049,002		Sep., 1977	Kletschka et al.	
	A16	4,052,980		Oct., 1977	Grams et al.	
	A17	4,226,228		Oct., 1980	Shin et al.	
	A18	4,230,119		Oct., 1980	Blum.	
	A19	4,306,561		Dec., 1981	de Medinaceli.	
	A20	4,366,819		Jan., 1983	Kaster.	
	A21	4,368,736		Jan., 1983	Kaster.	
	A22	4,428,368		Jan., 1984	Torii.	
	A23	4,461,284		Jul., 1984	Fackler.	
	A24	4,492,229		Jan., 1985	Grunwald	
	A25	4,637,377		Jan., 1987	Loop	
	A26	4,646,747		Mar., 1987	Windback.	
	A27	4,718,418		Jan., 1988	L'Esperance, Jr.	

RECEIVED
SEP 25 2003

TECHNOLOGY CENTER R37C

RECEIVED
SEP 30 2003
GROUP 3600

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this box →



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
		Application Number	09/900,503		
		Filing Date	July 6, 2001		
		First Named Inventor	Hu et al.		
		Group Art Unit	3732		
		Examiner Name	Jeffery A. Smith		
Sheet	2	of	10	Attorney Docket Number	GUID-012CON

A28	4,726,356	Feb., 1988	Santilli et al.	
A29	4,726,358	Feb., 1988	Brady.	
A30	4,736,749	Apr., 1988	Lundback.	
A31	4,747,395	May., 1988	Brief.	
A32	4,754,746	Jul., 1988	Cox.	
A33	4,803,984	Feb., 1989	Narayanan et a.	
A34	4,808,163	Feb., 1989	Kaub	
A35	4,829,985	May., 1989	Couetil.	
A36	4,852,552	Aug., 1989	Chaux	
A37	4,854,318	Aug., 1989	Solem et al.	
A38	4,863,133	Sep., 1989	Bonnell	
A39	4,884,559	Dec., 1989	Collins.	
A40	4,925,443	May., 1990	Heilman et al.	
A41	4,949,707	Aug., 1990	LeVahn et al.	
A42	4,955,896	Sep., 1990	Freeman	
A43	4,962,758	Oct., 1990	Lasner et al.	
A44	4,973,300	Nov., 1990	Wright	
A45	4,989,587	Feb., 1991	Farley.	
A46	4,991,578	Feb., 1991	Cohen.	
A47	5,009,660	Apr., 1991	Clapham	
A48	5,011,469	Apr., 1991	Buckberg et al.	
A49	5,036,868	Aug., 1991	Berggren et al.	
A50	5,037,428	Aug., 1991	Picha et al.	
A51	5,052,373	Oct., 1991	Michelson	
A52	5,053,041	Oct., 1991	Ansari et al.	
A53	5,080,088	Jan., 1992	LeVahn	
A54	5,098,369	Mar., 1992	Heilman et al.	
A55	5,119,804	Jun., 1992	Anstadt.	
A56	5,131,905	Jul., 1992	Grooters	
A57	5,133,724	Jul., 1992	Wilson, Jr. et al.	
A58	5,167,223	Dec., 1992	Koros et al.	
A59	5,171,254	Dec., 1992	Sher	

RECEIVED

SEP 25 2003

TECHNOLOGY CENTER R3700

RECEIVED

SEP 30 2003

GROUP 3600

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1. The citation designation number. 2. Applicant is to place a check mark here if English language Translation is attached.

Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC
SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Washington, DC 20231



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		Complete if Known	
		Application Number	09/900,503
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	3	of	10

A60	5,231,974	Aug., 1993	Giglio et al.
A61	5,287,861	Feb., 1994	Wilk
A62	5,293,863	Mar., 1994	Zhu et al.
A63	5,300,087	Apr., 1994	Knoepfle
A64	5,318,013	Jun., 1994	Wilk.
A65	5,336,252	Aug., 1994	Cohen
A66	5,382,756	Jan., 1995	Heilman et al.
A67	5,417,709	May., 1995	Slater
A68	5,437,651	Aug., 1995	Todd et al.
A69	5,452,733	Sep., 1995	Sterman et al.
A70	5,467,763	Nov., 1995	McMahon et al.
A71	5,498,256	Mar., 1996	Furnish
A72	5,503,617	Apr., 1996	Jako
A73	5,509,890	Apr., 1996	Kazama
A74	5,512,037	Apr., 1996	Russell et al.
A75	5,514,075	May., 1996	Moll et al.
A76	5,514,076	May., 1996	Ley
A77	5,529,571	Jun., 1996	Daniel
A78	5,547,458	Aug., 1996	Ortiz et al.
A79	5,573,496	Nov., 1996	McPherson et
A80	5,607,421	Mar., 1997	Jeevanandam
A81	5,607,446	Mar., 1997	Beehler et al.
A82	5,613,967	Mar., 1997	Garrison et al.
A83	5,651,378	Jul., 1997	Matheny et al.
A84	5,727,569	Mar., 1998	Benetti et al.
A85	5,749,892	May., 1998	Vierra et al.
A86	5,772,583	Jun., 1998	Wright et al.
A87	5,782,746	Jul., 1998	Wright
A88	5,799,661	Sep., 1998	Boyd et al.
A89	5,807,243	Sep., 1998	Vierra et al.
A90	5,813,410	Sep., 1998	Levin
A91	5,836,311	Nov., 1998	Borst et al.

RECEIVED

SEP 25 2003

TECHNOLOGY CENTER R3700

RECEIVED

SEP 30 2003

GROUP 3600

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box →

+

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

4

of

10

Complete if Known

Application Number	09/900,503
Filing Date	July 6, 2001
First Named Inventor	Hu et al.
Group Art Unit	3732
Examiner Name	Jeffery A. Smith
Attorney Docket Number	GUID-012CON

A92	5,846,193	Dec., 1998	Wright
A93	5,846,194	Dec., 1998	Wasson et al.
A94	5,865,730	Feb., 1999	Fox, et al.
A95	5,868,770	Feb., 1999	Rygaard
A96	5,876,332	Mar., 1999	Looney
A97	5,879,291	Mar., 1999	Kolata et al.
A98	5,885,271	Mar., 1999	Hamilton et al.
A99	5,888,247	Mar., 1999	Benetti
A100	5,891,017	Apr., 1999	Swindle et al.
A101	5,894,843	Apr., 1999	Benetti et al.
A102	5,906,601	May., 1999	Taylor et al.
A103	5,908,382	Jun., 1999	Koros et al.
A104	5,913,876	Jun., 1999	Taylor et al.
A105	5,927,284	Jul., 1999	Koros et al.
A106	5,947,125	Sep., 1999	Benetti
A107	5,957,835	Sep., 1999	Anderson et al.
A108	5,967,972	Oct., 1999	Santilli et al.
A109	5,976,080	Nov., 1999	Farascioni
A110	5,984,865	Nov., 1999	Farley et al.
A111	421,803	Mar., 2000	Koros et al.
A112	6,017,304	Jan., 2000	Vierra et al.
A113	6,019,722	Feb., 2000	Spence et al.
A114	6,030,340	Feb., 2000	Maffei et al.
A115	6,032,672	Jun., 1997	Taylor
A116	6,033,362	Mar., 2000	Cohn
A117	6,036,641	Mar., 2000	Taylor et al.
A118	6,050,266	Apr., 2000	Benetti et al.
A119	6,063,021	May., 2000	Hossain et al.
A120	6,071,295	Jun., 2000	Takahaski
A121	6,099,468	Aug., 2000	Santilli et al.
A122	6,102,854	Aug., 2000	Carfier et al.
A123	6,139,492	Oct., 2000	Vierra et al.

RECEIVED

SEP 25 2003

TECHNOLOGY CENTER R3700

RECEIVED

SEP 30 2003

GROUP 3600

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box →



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			Application Number	09/900,503	
			Filing Date	July 6, 2001	
			First Named Inventor	Hu et al.	
			Group Art Unit	3732	
			Examiner Name	Jeffery A. Smith	
			Attorney Docket Number	GUID-012CON	
Sheet	5	of	10		

(use as many sheets as necessary)

FOREIGN PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	Foreign Patent Documents			Date of Publication of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents
		Office ³	Number ⁴ Code ⁵	Kind		
		(if known)				
	B1		WO 87/04081		Jul., 1987	WO.
	B2		0 293 760 A1		Dec., 1988	DE
	B3		0 293 760 A2		Dec., 1988	DE
	B4		0 293 760 A3		Dec., 1988	DE
	B5		90 04513		June, 1990	DE
	B6		2 233 561		Jan., 1991	GB
	B7		0 630 629 A1		May, 1994	EP
	B8		WO 94/14383		Jul., 1994	WO.
	B9		WO 94/18881		Sep., 1994	WO.
	B10		WO 95/01757		Jan., 1995	WO.
	B11		WO 95/17127		Jun., 1995	WO.
	B12		668 058 A1		Aug., 1995	
	B13		WO 96/00033		Jan., 1996	WO.
	B14		WO 97/10753		Mar., 1997	WO.
	B15		WO 97/32514 A3		Sep., 1997	WO.
	B16		WO 98/48703		Nov., 1998	WO.
	B17		WO 98/49947		Nov., 1998	WO.
	B18		WO 99/08585		Feb., 1999	WO.
	B19		WO 00/06041		Feb., 2000	WO.
	B20		0 993 806 A2		April, 2000	EP

RECEIVED

SEP 25 2003

TECHNOLOGY CENTER R3700

RECEIVED

SEP 30 2003

GROUP 3600

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

³Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
Sheet 6 of 10	Attorney Docket Number	GUID-012CON	

B21	WO 00/42921	Jul., 2000	WO.
B22	WO 00/42935	Jul., 2000	WO.
B23	WO 00/42936	Jul., 2000	WO.
B24	WO 00/42937	Jul., 2000	WO.

OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	C1	Ancalmo, N. and J. L. Ochsner: "A Modified Sternal Retractor," Ann. Thorac. Surg. 21 (1976) 174.
	C2	Angelini, G.D., M.D. et al., "A Fiber-Optic Retractor for Harvesting the Internal Mammary Artery," Ann. Thorac. Surg. (1990;50:314-5).
	C3	Antinori, C. et al., "A Method of Retraction During Reoperative Coronary Operations Using the Favaloro Retractor," The Society of Thoracic Surgeons: 1989.
	C4	Beg, R.A. H. Naraghipour, E.B. Kay, and P. Rullo, "Internal Mammary Retractor," Ann Thorac. Surg. 39 (1985) 286-287.
	C5	Akins, C. W. et al., "Preservation of Interventricular Septal Function in Patients Having Coronary Artery Bypass Grafts Without Cardiopulmonary Bypass," American Heart Journal, vol. 107, No. 2, Feb. 1984, pp. 304-309.
	C6	Angelini, G. D., M. D., "A Simple Inexpensive Method of Heart Retraction During Coronary Artery Bypass Surgery," Ann Thorac Surg 46:46-247, Aug. 1988.
	C7	Archer, R., DO et al., "Coronary Artery Revascularization Without Cardiopulmonary Bypass," Texas Heart Institute Journal, vol. 11, No. 1, Mar. 1984, pp. 52-57.
	C8	Arom, K.V., et al., "Mini-Sternotomy for Coronary Artery Bypass Grafting," The Annals of Thoracic Surgery 1996;61:1271-2.
	C9	Arom, K.V. et al., "Mini-Sternotomy for Coronary Artery Bypass Grafting," The Annals for Thoracic Surgery 1996;62:1884-85.
	C10	Ballantyne, C. M., et al. "Delayed Recovery of Severely 'Stunned' Myocardium With the Support of a Left Ventricular Assist Device after Coronary Artery Bypass Graft Surgery," Journal of the American College of Cardiology vol. 10, No. 3, Sep. 1987, pp. 710-712.
	C11	Bedellino, M. M. et al., "The Cardiac Rag -Simple Exposure of the Heart," Texas Heart Institute Journal, vol. 15, No. 2, 1988, 134-35.

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance, and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIVED

SEP 30 2003

GROUP 3600



Please type a plus sign (+) inside this box →



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		Complete if Known	
		Application Number	09/900,503
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Filing Date	July 6, 2001
		First Named Inventor	Hu et al.
		Group Art Unit	3732
		Examiner Name	Jeffery A. Smith
		Attorney Docket Number	GUID-012CON
Sheet	7	of	10

RECEIVED
SEP 25 2003
TECHNOLOGY CENTER R37C

C12	Benetti, F. J., et al., "Direct Coronary Surgery with Saphenous Vein Bypass Without Either Cardiopulmonary Bypass Graft or Cardiac Arrest," The Journal of Cardiovascular Surgery, vol. 26, No. 3, May-Jun, 1985, pp. 217-222.
C13	Bennetti, F. J., et al., "Direct Myocardial Revascularization Without Extracorporeal Circulation," Chest, vol. 100, No. 2, Aug. 1991, pp. 312-316.
C14	Bonatti, J. et al., "Single Coronary Artery Bypass Grafting -- A Comparison Between Minimally Invasive 'Off Pump' Techniques and Conventional Procedures," European Journal of Cardiac-Thoracic Surgery, 14 (Supp.1) (1998) S7-S12.
C15	Borst, C., et al., "Regional Cardiac Wall Immobilization for Open Chest and Closed Chest Coronary Artery Bypass Grafting on the Beating Heart: the 'Octopus' Method," Circulation, Oct. 15, 1995, vol. 92, No. 8 Supplement 1, 1-177. Abstract from the 68.sup.th Scientific Sessions.
C16	Borst, C. et al., "Coronary Artery Bypass Grafting Without Cardiopulmonary Bypass and Without Interruption of Native Coronary Flow Using a Novel Anastomosis Site Restraining Device (Octopus)," J. Am. Coll Cardiol, May 1996, vol. 27, No. 6, pp. 1356-1364.
C17	British Heart Journal, "Coronary Surgery Without Cardiopulmonary Bypass," pp. 203-205, 1995.
C18	Buffolo, E. et al., "Direct Myocardial Revascularization Without Cardiopulmonary Bypass," Thorac. Cardiovasc. Surgeon, 33 (1985) pp. 26-29.
C19	Bugge, M., "A New Internal Mammary Artery Retractor," Thorac. Cardiovasc Surgeon 38, pp. 316-317 (1990).
C20	Calafiore, A. M., et al., "Minimally Invasive Coronary Artery Bypass Grafting," The Annals of Thoracic Surgery, 62:1545-8, 1996.
C21	Cartier, R. MD., "Triple Coronary Artery Revascularization on the Stabilized Beating Heart: Initial Experience," Montreal Heart Institute, CJS, vol. 41, No. 4, pp. 283-288, Aug. 1998.
C22	Chaux, A. and C. Blanche, "A New Concept in Sternal Retraction: Applications for Internal Mammary Artery Dissection and Valve Replacement Surgery," Ann. Thorac. Surg. 42, pp. 473-474, Oct. 1986.
C23	Cooley, D. A., "Limited Access Myocardial Revascularization," Texas Heart Institute Journal, pp. 81-84, vol. 23, No. 2, 1996.
C24	Correspondence and Brief Communications, Archives of Surgery - vol. 115, 1136-37, Sep. 1980.
C25	Gremer, J., MD, "Off-Bypass Coronary Bypass Grafting Via Minithoracotomy Using Mechanical Epicardial Stabilization," The Annals of Thoracic Surgery, 63:S79-83, 1997.
C26	DelRossi, A J and Lemole, GM, "A New Retractor to Aid in Coronary Artery Surgery," The Annals of Thoracic Surgery, vol. 36, No. 1, 101-102, Jul. 1983.
C27	Fanning, W. J. et al., "Reoperative Coronary Artery Bypass Grafting Without Cardiopulmonary Bypass," The Annals of Thoracic Surgery, vol. 55, No. 2, Feb. 1993, pp. 486-489.
C28	Favaloro, R. G., et al. "Direct Myocardial Revascularization by Saphenous Vein Graft," The Annals of Thoracic Surgery, vol. 10, No. 2, pp. 97-111, Aug. 1970.

RECEIVED
SEP 30 2003
GROUP 3600

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box →

+

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 8 of 10

Complete if Known

Application Number	09/900,503
Filing Date	July 6, 2001
First Named Inventor	Hu et al.
Group Art Unit	3732
Examiner Name	Jeffery A. Smith
Attorney Docket Number	GUID-012CON

RECEIVED

SEP 25 2003

TECHNOLOGY CENTER RB700

C29	Fonger, J. D. et al., "Enhanced Preservation of Acutely Ischemic Myocardium with Transseptal Left Ventricular Assist," The Annals of Thoracic Surgery, vol. 57, No. 3, Mar. 1994, pp. 570-575.
C30	Gacioch, G. M., MD, et al., "Cardiogenic Shock Complicating Acute Myocardial Infarction: The Use of Coronary Angioplasty and the Integration of the New Support Device into Patient Management," Journal of the American College of Cardiology, vol. 19, No. 3, Mar. 1, 1992, pp. 647-653.
C31	Green, GE., "Technique of Internal Mammary-Coronary Artery Anastomosis," The Journal of Cardiovascular Surgery, 78:455-59, 1979.
C32	Groopman, J., "Heart Surgery, Unplugged: Making the Coronary Bypass Safer, Cheaper, and Easier," The New Yorker, Jan. 11, 1999, pp. 43-46, 50-51.
C33	Hasan, RI, et al., "The Technique of Dissecting the Internal of a Mammary After Using the Moussalli Bar," European Journal of Cardiothoracic Surgery, 4:571-572, 1990.
C34	Itoh, Toshiaki, M. D., et al., "New Modification of a Mammary Artery Retractor," Ann. Thorac. Surg. 9, 1994; 57:1670-1.
C35	Izzat, M. B., et al. "Cardiac Stabilizer for Minimally Invasive Direct Coronary Artery Bypass," Ann Thora Surg. 1997.
C36	Japanese Journal of Thoracic Surgery, vol. 42, No. 2, 1989.
C37	Japanese Article "Heart Retractor".
C38	Kazama, S. et al., "Fabric Heart Retractor for Coronary Artery Anastomosis as Method of Treatment for Angina Pectoris," Thoracic and Cardiovascular Surgery, vol. 54, No. 4, Oct. 1967, pp. 535-544.
C39	Kolessov, V. I., M. D., "Mammary Artery-Coronary Artery Anastomosis as Method of Treatment for Angina Pectoris," Thoracic and Cardiovascular Surgery, vol. 54, No. 4, Oct. 1967, pp. 535-544.
C40	Konishi, T. MD. et al., "Hybrid-Type Stabilizer for Off-Pump Direct Coronary Artery Bypass Grafting," Annals of Thoracic Surgery 66:961-2, 1998.
C41	Kresh, J. Y., et al., "Heart-Mechanical Assist Device Interaction," Trans. Am. Soc. Artif. Intern. Organs, vol. XXXII, 1986, pp. 437-443.
C42	Lavargne, et al., "Transcatheter Radiofrequency Ablation of Atrial Tissue Using A Suction Catheter," PACE, vol. 12, Jan. 1989, Part II, pp. 177-186.
C43	Lonn, U., M. D., et al., "Coronary Artery Operation Supported by the Hemopump: An Experimental Study on Pigs," The Annals of Thoracic Surgery, vol. 58, No. 1, Jul. 1994, pp. 516-523.
C44	Matsuura, A. MD, et al., "A New Device for Exposing the Circumflex Coronary Artery," The Annals of Thoracic Surgery, 59:1249-50, 1995, pp. 1249-1250.
C45	McGee, M. G., et al., "Extended Clinical Support with an Implantable Left Ventricular Assist Device," Trans. Am. Soc. Artif. Intern. Organs, vol. XXXV, 1989, pp. 614-616.
C46	McKeown, P. P. et al., "A Modified Sternal Retractor for Exposure of the Internal Mammary Artery," Ann. Thorac. Surg. 32(1981) 619.

Examiner
Signature

Date
Considered

RECEIVED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

SEP 30 2003

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

GROUP 3600

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**RECEIVED**

SEP 30 2003

GROUP 3600

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to the collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 9 of 10

Complete if Known

Application Number	09/900,503
Filing Date	July 6, 2001
First Named Inventor	Hu et al.
Group Art Unit	3732
Examiner Name	Jeffery A. Smith
Attorney Docket Number	GUID-012CON

RECEIVED

SEP 25 2003

TECHNOLOGY CENTER B2710

C47	Ochsner, J.L. et al., "Surgical Management of Diseased Intracavitary Coronary Arteries," The Annals of Thoracic Surgery, vol. 38, No. 4, Jul. pp. 356-62, Oct. 1984.
C48	Parsonnet, V. MD, et al., "Graduated probes for Coronary Bypass Surgery," The Journal of Thoracic Surgery, vol. 68, No. 3, 426-26 (Sep. 1974).
C49	Perrault, L. et al., "Snaring of the Target Vessel in Less Invasive Bypass Operations Does Not Cause Endothelial Dysfunction," The Society of Thoracic Surgeons, pp. 751-755, 1997.
C50	Pfister, A. J. M. D. et al., "Coronary Artery Bypass Without Cardiopulmonary Bypass," The Annals of Thoracic Surgery, vol. 54, No. 6, Dec. 1992, pp. 1085-1092.
C50	Riahi, M., et al., "A Simple Technique and Device to Provide a Bloodless Operative Field in Coronary Artery Surgery Without Cross-Clamping the Aorta," The Journal of Thoracic and Cardiovascular Surgery, vol. 66, No. 6, Dec. 1973, pp. 974-978.
C51	Richenbacher, W. E., MD, et al., "Current Status of Cardiac Surgery: A 40-Year Review," Journal of American College of Cardiology, vol. 14, No. 3, pp. 535-544.
C52	Robicsek, F., "Aortic Spoon-Jaw Clamp for Aorta-Saphenous Vein Anastomosis," Journal of Cardiac Surgery, 10:583-585, 1995.
C53	Robinson, M. C. et al., "A Minimally Invasive Surgical Method for Coronary Revascularization - Preliminary Experience in Five Patients," Circulation, Oct. 15, 1995, vol. 92, No. 8, 1-176.
C54	Rousou, J. et al., "Cardiac Retractor for Coronary Bypass Operations," The Society of Thoracic Surgeons, pp. 52:877-78, 1991.
C55	Roux, D. MD et al., "A New Helper Instrument in Cardiac Surgery," The Annals of Thoracic Surgery, 48:595-6, 1989.
C56	Ruzevich, S. A. et al., "Long-Term Follow-Up of Survivors of Postcardiotomy Circulatory Support," Trans. Am. Soc. Artif. Intern. Organs, vol. XXXIV, 1988, pp. 116-124.
C57	Scholz, K. H., et al., "Transfemoral Placement of the Left Ventricular Assist Device 'Hemopump' During Mechanical Resuscitation," Thoracic and Cardiovascular Surgeon, vol. 38 (1990) pp. 69-72.
C58	Stevens, et al., "Closed Chest Coronary Artery Bypass With Cardioplegic Arrest in the Dog," 67, sup.th Scientific Sessions, 238, I-251.
C59	Trapp, W.G. and Bisarya, R., "To Use or Not To Use the Pump Oxygenator in Coronary Bypass Operations," The Annals of Thoracic Surgery, vol. 19, No. 1, Jan. 1975, pp. 108-109.
C60	Trapp, et al., "Placement of Coronary Artery Bypass Graft without Pump Oxygenator," Journal of the Society of Thoracic Surgeons and The Southern Thoracic Surgeons Assn. vol. 19, No. 1, Jan. 1975, pp. 1-9.
C61	USSC Cardiovascular Thora-Lift, sup.198, United States Surgical Corporation, Norwalk, Connecticut, Product Brochure.
C62	Vigano, M., "Tecnica Corporation," Minerva Cardioangiologica, vol. 23, -N. 6-7 (1975), pp. 369-371.
C63	Vincent, J. G., "A Compact Single Post Internal Mammary Artery Dissection Retractor," Eur. J. Cardio-Thor. Surg. 3(1989)276-277.
C64	Westaby, S. et al., "Less Invasive Coronary Surgery: Consensus From the Oxford Meeting," The Annals of Thoracic Surgery, 62:924-31, 1996.

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box →



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 10 of 10

Complete if Known

Application Number	09/900,503
Filing Date	July 6, 2001
First Named Inventor	Hu et al.
Group Art Unit	3732
Examiner Name	Jeffery A. Smith
Attorney Docket Number	GUID-012CON

C65	Zumbro, G. L. et al., "A Prospective Evaluation of the Pulsatile Assist Device," The Annals of Thoracic Surgery, vol. 28, No. 2, Aug. 1979, pp. 269-273.
C66	60/117,333 Looney et al. (provisional) filed in Jan. 24, 1999.
C67	09/345,859 Looney et al. filed on Jul. 1, 1999.
C68	09/438,670 Parsons, et al. filed on Nov. 12, 1999.
C69	09/489,274 Brown et al. filed on Jan. 24, 2000.

RECEIVED
SEP 25 2003

TECHNOLOGY CENTER R3700

RECEIVED
SEP 30 2003
GROUP 3600

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



 **COPY**

Atty/Sec: AWC/mjs

File No. GUID-012CON

Application No.: 09/900,503

Inventor(s): Lawrence W. Hu, et al.

Title: *Surgical Retractor Platform Blade Apparatus*

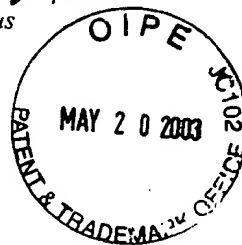
Date Mailed: May 14, 2003

Date Filed: ~~Even Date Herewith~~

July 6, 2003

Enclosures:

- ◆ Transmittal (1 pg.)
- ◆ Fee Transmittal (in duplicate) (2pgs.)
- ◆ Amendment under 37 CFR 1.116 (7 pages)
- ◆ PTO Forms 1449 (10 pages)



Acknowledge Receipt of enclosures
By imprinting PTO Date Stamp
and Returning to addressee

RECEIVED

SEP 30 2003

GROUP 3600



LAW OFFICE OF ALAN W. CANNON
834 South Wolfe Road
Sunnyvale, CA 94086

RECEIVED
SEP 25 2003
TECHNOLOGY CENTER H3701

